



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

RQ-3

December 27, 2001

Edward Grieb, Treasurer
Action Fund of Lehman Brothers Holdings Inc.
200 Vesey Street, 11th Floor
New York, NY 10285

Identification Number: C00127670

Reference: April Monthly Report (3/1/01-3/31/01)

Dear Mr. Grieb:

This letter is to inform you that as of December 26, 2001, the Commission has not received your response to our request for additional information, dated December 5, 2001. This notice requests information essential to full public disclosure of your federal election campaign finances. To ensure compliance with the provisions of the Federal Election Campaign Act (the Act), please respond to this request (copy enclosed).

An adequate response must be received at the Commission by January 16, 2002. Adequate responses received on or before this date will be taken into consideration in determining whether audit action will be initiated. **Requests for extensions of time in which to respond will not be considered.** Failure to provide an adequate response by this date may result in an audit of the committee. Failure to comply with the provisions of the Act may also result in an enforcement action against the committee. Any response submitted by your committee will be placed on the public record and will be considered by the Commission prior to taking enforcement action.

Electronic filers must file amendments in an electronic format and must submit an amended report in its entirety, rather than just those portions of the report that are being amended. If you should have any questions regarding this matter, please contact Alice Kang on our toll-free number (800) 424-9530 (at the prompt press 1, then press 2 to reach the Reports Analysis Division) or our local number (202) 694-1130.

Sincerely,

A handwritten signature in black ink, appearing to read "John D. Gibson", is written over the typed name.

John D. Gibson
Assistant Staff Director
Reports Analysis Division

Enclosure



FEDERAL ELECTION COMMISSION
WASHINGTON, D.C. 20463

RQ-2

Edward Grieb, Treasurer
Action Fund of Lehman Brothers Holdings Inc.
200 Vesey Street, 11th Floor
New York, NY 10285

DEC 5 2001

Identification Number: C00127670

Reference: April Monthly Report (3/1/01-3/31/01)

Dear Mr. Grieb:

This letter is prompted by the Commission's preliminary review of the report(s) referenced above. The review raised questions concerning certain information contained in the report(s). An itemization follows:

-Schedule B of your report (pertinent portion(s) attached) discloses one or more contributions which appear to exceed the limits set forth in the Act. 2 U.S.C. §441a(a) prohibits a multicandidate committee and its affiliates from making a contribution to a national political party in excess of \$15,000 in a calendar year.

If any apparently excessive contribution in question was incompletely or incorrectly disclosed, you should amend your original report with clarifying information.

If you have made an excessive contribution, you must notify the recipient and request a refund of the amount in excess of \$15,000. The refund of the excessive amount must be made within sixty (60) days of receipt-of-the contribution.

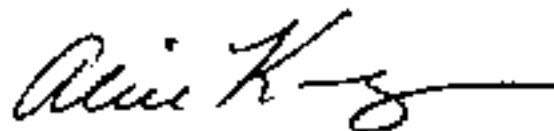
Please inform the Commission of your corrective action immediately in writing and provide a photocopy of the refund request sent to the recipient committee(s). In addition, any refunds should be disclosed on Schedule A supporting Line 16 of the report covering the period during which they are received.

Although the Commission may take further legal action concerning the

excessive contribution(s), prompt action in obtaining a refund will be taken into consideration.

A response or amendment to your original report(s) correcting the above problem(s) should be filed with the Federal Election Commission within fifteen (15) days of the date of this letter. Electronic filers must file amendments in an electronic format and must submit an amended report in its entirety, rather than just those portions of the report that are being amended. If you need assistance, please feel free to contact me on our toll-free number, (800) 424-9530 (at the prompt press 1, then press 2 to reach the Reports Analysis Division). My local number is (202) 694-1130.

Sincerely,

A handwritten signature in cursive script, appearing to read "Alice Kang", followed by a long horizontal flourish.

Alice Kang
Reports Analyst
Report Analysis Division

SCHEDULE B
ITEMIZED DISBURSEMENTS

 Use separate schedule(s)
for each category of the
Detailed Summary Page

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 FOR LINE NUMBER
23

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)
Action Fund of Lehman Brothers Holdings Inc.

Full Name, Mailing Address, and ZIP Code Encl for US Senate P.O. Box 2775 Cody WY 82414	Purpose of Disbursement Contribution made to Non-affiliated (Senate - WY -) Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) :	Date (month, day, year) 03/07/2001	Amount of Each Disbursement This Period 1000.00
Full Name, Mailing Address, and ZIP Code Natl Rep Sen Cmte (NRSC) 425 Second St NE Washington DC 20002	Purpose of Disbursement Contribution made to Non-affiliated (- DC -) Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General <input checked="" type="checkbox"/> Other (specify) : Not Applicable	Date (month, day, year) 03/12/2001	Amount of Each Disbursement This Period 15000.00
Full Name, Mailing Address, and ZIP Code Friends of Carolyn McCarthy 151 Linden Rd. Minnetonka NY 11501	Purpose of Disbursement Contribution made to Non-affiliated (House - NY - 4) Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) :	Date (month, day, year) 03/12/2001	Amount of Each Disbursement This Period 1000.00
Full Name, Mailing Address, and ZIP Code Casabe Campaign Fund P.O. Box 133 Wilmington DE 19899	Purpose of Disbursement Contribution made to Non-affiliated (House - DE - 1) Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) :	Date (month, day, year) 03/12/2001	Amount of Each Disbursement This Period 500.00
Full Name, Mailing Address, and ZIP Code Cmte Re-Elect Velazquez 12329 Needlepine Terrace Silver Spring MD 20904	Purpose of Disbursement Contribution made to Non-affiliated (House - NY - 12) Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) :	Date (month, day, year) 03/12/2001	Amount of Each Disbursement This Period 1000.00
Full Name, Mailing Address, and ZIP Code Anna Eshoo for Congress 355 Capitol Mall #1425 Sacramento CA 95814	Purpose of Disbursement Contribution made to Non-affiliated (House - CA - 14) Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) :	Date (month, day, year) 03/14/2001	Amount of Each Disbursement This Period 500.00
Full Name, Mailing Address, and ZIP Code Tim Johnson for South Dakota P.O. Box 1859 Sioux Falls SD 57101	Purpose of Disbursement Contribution made to Non-affiliated (Senate - SD -) Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) :	Date (month, day, year) 03/27/2001	Amount of Each Disbursement This Period 1000.00
Full Name, Mailing Address, and ZIP Code Friends of Phil Gramm P.O. Box 601329 Dallas TX 75360	Purpose of Disbursement Contribution made to Non-affiliated (Senate - TX -) Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) :	Date (month, day, year) 03/27/2001	Amount of Each Disbursement This Period 1000.00
Full Name, Mailing Address, and ZIP Code Richard E. Neal for Congress Cmte 78 Magnolia Terrace Springfield MA 01108	Purpose of Disbursement Contribution made to Non-affiliated (House - MA - 2) Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) :	Date (month, day, year) 03/27/2001	Amount of Each Disbursement This Period 500.00
SUBTOTALS of Disbursements This Page (Optional)			
TOTALS This Period (last page this line number only)			21500.00

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

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26 27 28a 28b 28c 29

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NAME OF COMMITTEE (In Full)

Peabody Political Action Committee

Full Name (Last, First, Middle Initial)

A. National Republican Senatorial Committee

Mailing Address

Ronald Reagan Republican Center 425 2nd Street, N.E.

City State Zip Code
Washington DC 20002

Purpose of Disbursement

2001 Nat. Party Cmte-Federal Acct,US,R

Candidate Name

REPUBLICAN PARTY OF KENTUCKY

Category/
Type

Office Sought:

House

Senate

President

Disbursement For:

Primary

General

☒ Other (specify) ▼

Other

State:

District:

Date of Disbursement

03 / 06 / 2001

Amount of Each Disbursement this Period

5000.00

Transaction ID: SB23.10914

Full Name (Last, First, Middle Initial)

B. NELSON 2000

Mailing Address

1915 N. 121st Street SUITE B

City State Zip Code
OMAHA NE 68154

Purpose of Disbursement

Contribution - General Debt Retirement

Candidate Name

Category/
Type

Office Sought:

House

☒ Senate

President

Disbursement For:

Primary

General

☒ Other (specify) ▼

Other

State: NE

District: 00

Date of Disbursement

03 / 06 / 2001

Amount of Each Disbursement this Period

1000.00

Transaction ID: SB23.10912

Full Name (Last, First, Middle Initial)

C. REPUBLICAN PARTY OF KENTUCKY

Mailing Address

PO BOX 1068

City State Zip Code
FRANKFORT KY 40602

Purpose of Disbursement

3/31/01 Event

Candidate Name

Category/
Type

Office Sought:

House

Senate

President

Disbursement For:

Primary

General

☒ Other (specify) ▼

Other

State:

District:

Date of Disbursement

03 / 26 / 2001

Amount of Each Disbursement this Period

2500.00

Transaction ID: SB23.10919

SUBTOTAL of Disbursements This Page (optional)

8500.00

TOTAL This Period (last page this line number only)

